

Department of Energy



DOE A-123 Corrective Action Plan

Chicago

June 2006



DOE A-123 - Corrective Action Plan -

Chicago LBNL

INTRODUCTION

The Corrective Action Plan is a step-by-step plan of action and schedule for resolving internal control weaknesses identified by the DOE A-123 process. The process includes:

- o Reviewing and defining the problem
- o Finding the cause of the problem
- o Developing an action plan to correct the problem and prevent recurrence
- o Implementing the plan
- o Evaluating the effectiveness of the correction (*Follow up*).

TITLE	<i>Development and Implementation of a Business Continuity Plan</i>
CAP #	<i>LBNL-3</i>
Date Identified	March 2006
Process Cycle (s) & Process(es)	Entity Controls – Information Systems Application controls

1.0 SUMMARY OF DEFICIENCIES

Deficiency: Business Continuity Plan is not completed as of March 2006.

Risk: A Lab wide comprehensive Business Continuity Plan has not been developed or not updated regularly or at appropriate intervals.

Root Cause: All the basic components and processes had been in place in regards to dealing with Business Continuity related issues. The steps detailed in this corrective action plan centralized and materialized the required roles and responsibilities.

Scope of Remediation: Completion of the Business Continuity Plan development and implementation of the plan.

Potential Impacts:

1. *Restart of business and scientific operations following an emergency shutdown may not be accomplished as efficiently and effectively as it should.*
2. *Continued viability of the Laboratory during an emergency may be affected.*



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2.0 RESPONSIBLE OFFICIAL

Program Office	LBNL
Name	Genevieve Pastor-Cohen
Contact Number	(510)486-7033
Email	GPPastor-Cohen@lbl.gov

If other Departmental organizations are involved in related remediations or need to be involved to ensure standardization and/or integration with other efforts (e.g. Tiger Team, etc.), identify the point(s) of contact:

Name	Organization	Role
Marty Straka 630-252-7724	Chicago Office	OMBA-123 implementation contact

3.0 REMEDIATION STRATEGY/DESCRIPTION

The remediation is to develop a Business Continuity Plan that will serve as a blueprint to restart scientific operations following an emergency shutdown. As such, the remediation target is Laboratory-wide operations. All operating systems, including financial, information technology, facilities, human resources, and security are impacted. The remediation action, an approved Business Continuity Plan, is a long-term plan employing short term fixes to ensure the continued viability of the Laboratory during an emergency.

4.0 MILESTONES AND TRACKING

No.	Milestones/Action	Target Completion	Revised Completion	Actual Completion	Documentation
	Establish BCP Task Force & Subcommittee: Create Mission/Purpose Statement; Review Compliance Vehicles; Identify Stakeholders; Establish Meeting Schedules	01/19/06		1/19/06	Minutes of BCPO Task Force Meetings
	Develop Project Management Plan: Identify Project Milestone, Tasks & Timelines	2/10/06		2/10/06	Minutes of BCP Task Force Meetings
	Continuity Plan Development:	6/6/06	6/16/06	6/16/06	NFPA-1600



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	<i>Review Existing Plans; Integrate Existing Data into Plan for Essential Business Processes; Socialize Plan; Draft Plan Review: Finalize Plan; Plan Audit</i>				<i>External Auditor Plan Review Stating LBNL is compliant</i>
	Plan Implementation (TBD-FY 07): <i>Establish and Set Training Schedule & Exercises</i>	6/21/06	6/21/06	6/29/06	<i>NFPA-1600 External Auditor Plan Review Stating LBNL is compliant</i>
	Documentation of New Process/Controls Complete	6/21/2006	6/21/2006	6/29/06	<i>NFPA-1600 External Auditor Plan Review Stating LBNL is compliant</i>



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5.0 SIGN OFF

Plan Approved:

DAN S. LUNSFORD, SECURITY & EMERGENCY OPERATIONS GROUP LEADER

Name

Title

Signature

Date

Corrective Action(s) Completed/Implemented:

GENEVIEVE P. PASTOR-COHEN, SECURITY & EMERGENCY OPERATIONS PROGRAM MANAGER

Name

Title

Signature

Date